# Employee Post-Travel Disclosure of Travel Expenses

Date/Time Stamp: ECEIVED SECRETARY OF THE SENATE PUBLIC RECORDS

Post-Travel Filing Instructions: Complete this form within 30 days of returning from [1] [ 2]

travel. Submit all forn	ns to the Office of Pul	blic Records in 232 Hai	rt Building.	
In compliance with Rube reimbursed/paid for		_	sures with respect to	travel expenses that have been or w
		rization (Form RE-1), grification Form with all		y, invitee list, etc.)
Private Sponsor(s) (lis	t all): Aspen Institut	te Inc. (Education ar	nd Society Progran	n)
Travel date(s): Augus	st 7-9, 2018		·• ·	
	er:   Spouse   GING DID NOT INCR COSTS IN EMPLOYEE	Child		SE OR DEPENDENT CHILD, ONLY
	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
☐ Good Faith Estimate ☐ Actual Amount		\$234.00	\$132.75	\$211.63,
Expenses for Accomp	panying Spouse or De	ependent Child (if applied	cable):	
	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
☐ Good Faith Estimate ☐ Actual Amount				
necessary )·		ents attended. See Senations (see agenda atta		ttach additional pages if
8/21 18 (Date)  TO BE COMPLETED	(Printed r	Kimel  name of traveler)  MEMBER/OFFICER:		(Signature of traveler)

I have made a determination that the expenses set out above in connections with travel described in the Employee Pre-Travel Authorization form, are necessary transportation, lodging, and related expenses as defined in Rule 35.

(Revised 1/3/11)

### PRIVATE SPONSOR TRAVEL CERTIFICATION FORM

This form must be completed by any private entity offering to provide travel or reimbursement for travel to Senate Members, officers, or employees (Senate Rule 35, clause 2). Each sponsor of a fact-finding trip must sign the completed form. The trip sponsor(s) must provide a copy of the completed form to each invited Senate traveler, who will then forward it to the Ethics Committee with any other required materials. The trip sponsor(s) should **NOT** submit the form directly to the Ethics Committee. Please consult the accompanying instructions for more detailed definitions and other key information.

The Senate Member, officer, or employee MUST also provide a copy of this form, along with the appropriate travel authorization and reimbursement form, to the Office of Public Records (OPR), Room 232 of the Hart Building, within thirty (30) days after the travel is completed.

Th	e Aspen Institute, Inc. (Education and Society Program)
De	scription of the trip: Aspen Institute Education and Society program sponsored convening for senior
ed	ucation staffers on the Implementation of the Every Student Succeeds Act (ESSA) and next steps.
Dat	tes of travel: August 7-9, 2018
Pla	ce of travel: Queenstown, MD
Nai	me and title of Senate invitees: Please see attached roster
	ertify that the trip fits one of the following categories:
	<ul> <li>(A) The sponsor(s) are not registered lobbyists or agents of a foreign principal and do not retain or employ registered lobbyists or agents of a foreign principal and no lobbyist or agents of a foreign principal will accompany the Member, officer, or employee at any point throughout the trip.         <ul> <li>OR -</li> </ul> </li> <li>(B) The sponsor or sponsors are not registered lobbyists or agents of a foreign principal, but retain employ one or more registered lobbyists or agents of a foreign principal and the trip meets the</li> </ul>
	requirements of Senate Rule 35.2(a)(2)(A)(i) or (ii) (see question 9).
X	I certify that the trip will not be financed in any part by a registered lobbyist or agent of a foreign principal.
<b>5</b> 7	- AND -
Ľ	I certify that the sponsor or sponsors will not accept funds or in-kind contributions earmarked directly for the purpose of financing this specific trip from a registered lobbyist or agent of a foreign principal or from a private entity that retains or employs one or more registered lobbyists or agents of a foreign principal.
I ce	ertify that:
X	The trip will not in any part be planned, organized, requested, or arranged by a registered lobbyist or agent of a foreign principal except for <i>de minimis</i> lobbyist involvement.  - AND -
X	

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9.	USE ONLY IF YOU CHECKED QUESTION 6(B)  I certify that if the sponsor or sponsors retain or employ one or more registered lobbyists or agents of a foreign principal, one of the following scenarios applies:
	<ul> <li>(A) The trip is for attendance or participation in a one-day event (exclusive of travel time and one overnight stay) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee on any segment of the trip.         <ul> <li>OR −</li> </ul> </li> </ul>
	□ (B) The trip is for attendance or participation in a one-day event (exclusive of travel time and two overnight stays) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee on any segment of the trip (see questions 6 and 10).  -OR -
	(C) The trip is being sponsored only by an organization or organizations designated under § 501(c)(3) of the Internal Revenue Code of 1986 and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee at any point throughout the trip.
10.	USE ONLY IF YOU CHECKED QUESTION 9(B)  If the trip includes two overnight stays, please explain why the second night is practically required for Senate invitees to participate in the travel:
11.	An itinerary for the trip is attached to this form. I <i>certify</i> that the attached itinerary is a detailed (hourby-hour), complete, and final itinerary for the trip.
12.	Briefly describe the role of each sponsor in organizing and conducting the trip:
	The Aspen Institute is the sole sponsor of this retreat and is solely responsible for the development and
	execution of the convening. (see continued response)
13.	Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission:  The Aspen Institute is an educational and policy studies non-profit organization whose mission is to foster
	leadership based on enduring values and provide a non-partisan forum for the exchange of ideas.
	(see continued response)
14.	Briefly describe each sponsor's prior history of sponsoring congressional trips:
	The Aspen Institute has a nearly forty year history of conducting non-partisan educational forums, which
	often include Members of Congress and staff. The Aspen Institute Education and Society program
	has been conducting convenings for Congressional education staff for eleven years.

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trips): The Aspen Institute holds numerous educational activities, including educational briefings, roundtables,				
forums, and conferen	erences for a diverse range of attendees including federal and state policymakers,			
business and organiz	business and organizational leaders, members of the press and the general (see continued response)			ntinued response)
Total Expenses for Ea	ch Participant:			
	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses
Good Faith estimate  Actual Amounts	\$68.22(round trip mileage and tolls)	\$234.00 for two nights total	\$132.75	\$211.63 meeting room fees (includes meeting facilities, set up/take down, cleaning, meeting materials)
participation or b) the congressional particip	trip involves an event ation:	at is arranged or organithat is arranged or organithat arranged or organizated to Congressional states	nized specifically	with regard to
their learning on imple	ementation of the Ever	y Student Succeeds Ac	t.	
Reason for selecting the	ne location of the even	t or trip		
The location is close t	o Washington, DC for	easy staffer travel and	allows faculty me	mbers (external
experts brought in to	support the retreat) to t	fly into DCA, Dulles or E	3WI and travel ea	sily to the facility.
	hotel or other lodging e Center, 600 Aspen D	facility: Orive, Queenstown, MD	21658	
			- -	
Descon(s) for colocting	T NATAL AF ATNAF LAMAIN	/P TAA1117311		
Reason(s) for selecting  The meeting location		g racility: space and lodging to si	unnort off-the rec	ord non norticon

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21.	Describe how the daily expenses for lodging, meals, and other expenses provided to trip participants compares to the maximum per diem rates for official Federal Government travel:			
	Rooms are \$117.00 per day, which reflects the per diem limit			
	Meals are 8/7/18 \$36.75 per day, 8/8/18 \$69.00 per day, 8/9/18, \$27.00 per day, which reflects the per			
	diem limit			
22.	Describe the type and class of transportation being provided. Indicate whether coach, business-class or first class transportation will be provided. If first-class fare is being provided, please explain why first-class travel is necessary:			
	Transportation is not provided; mileage will be reimbursed for participants' travel by personal car			
23.	I represent that the travel expenses that will be paid for or reimbursed to Senate invitees do not include expenditures for recreational activities, alcohol, or entertainment (other than entertainment provided to all attendees as an integral part of the event, as permissible under Senate Rule 35).			
24.	List any entertainment that will be provided to, paid for, or reimbursed to Senate invitees and explain why the entertainment is an integral part of the event:			
	None			
25.	I hereby <i>certify</i> that the information contained herein is true, complete and correct. (For trips involving more than one sponsor, you <i>must</i> include a completed signature page for each additional sponsor):  Signature of Travel Sponsor:			
	Name and Title: Elliot Gerson, Executive Vice President, Policy & Public Programs			
	Name of Organization: The Aspen Institute			
	Address: 2300 N Street NW, Suite 700, Washington, DC 20037			
	Telephone Number: 202-736-5859 (Lisa Jones, Deputy General Counsel)			
	Fax Number: 202-467-0790			
	E-mail Address: lisa.jones@aspeninst.org			

### PRIVATE SPONSOR TRAVEL CERTIFICATION FORM

### SIGNATURE PAGE FOR ADDITIONAL SPONSOR

(to be completed by each additional sponsor)

•	tion contained on pages 1-4 of the certification form and an	y
accompanying addenda, all submitted in connection with the		trip
	Dates of Travel (Month Day, Year)	
to	is true, complete, and correct.	
Place of Travel		
Signature of Travel Sponsor:		
Name and Title:		
Name of Organization:		
Address:		
Telephone Number:	·	
Fax Number:		
E-mail Address:		

#### Instructions

(Do not file the Instructions with OPR)

#### **General Instructions**

- The Senate Select Committee on Ethics ("Ethics Committee") has developed guidelines for evaluating privately-sponsored trips and for judging whether trip expenses are reasonable. Trip sponsors should consult the Senate Select Committee on Ethics' Regulations and Guidelines for Privately-Sponsored Travel, including the Glossary of Terms, prior to filling out the Private Sponsor Travel Certification Form and contact the Ethics Committee at (202) 224-2981 with any additional questions. The Ethics Committee will make the final determination as to whether the expenses incurred during a privately-sponsored trip are reasonable.
- If there are multiple sponsors, they should jointly complete one *Private Sponsor Travel Certification Form* for the trip. Each travel sponsor should complete the signature block.
- When evaluating a trip proposal and judging the reasonableness of expenses, the Ethics Committee will consider the following factors:
  - a. the stated mission of the organization sponsoring the trip;
  - b. the organization's prior history of sponsoring congressional trips, if any;
  - c. other educational activities performed by the organization besides sponsoring congressional trips;
  - d. whether any trips previously sponsored by the organization led to an investigation by the Select Committee on Ethics;
  - e. whether the length of the trip and the itinerary is consistent with the official purpose of the trip;
  - f. whether there is an adequate connection between a trip and official duties;
  - g. the reasonableness of the total amount spent by a sponsor of the trip;
  - h. whether there is a direct and immediate relationship between a source of funding and an event;
  - i. the maximum per diem rates for official Federal Government travel published annually by the General Services Administration, the Department of State, and the Department of Defense;
  - j. whether travel to a location or event is arranged or organized without regard to congressional participation, or whether it is specifically organized for Congressional staff; and
  - k. any other factor deemed relevant by the Select Committee on Ethics.

Consult the Senate Select Committee on Ethics' Regulations and Guidelines for Privately-Sponsored Travel, including the Glossary of Terms, for further discussion of these factors.

- Responses to each question should be brief, consistent with the requirement to provide all relevant information. Attach additional pages, as necessary.
- To allow sufficient time for the Ethics Committee to review requests for privately sponsored travel, the participating Senate Members, officers, and employees must submit the completed form to the Ethics Committee at least thirty (30) days before the date of the proposed trip.

### Filling out the Private Sponsor Travel Certification Form (Question by Question Instructions)

- 1. Sponsor(s) of the trip (please list all sponsors): A sponsor of a trip is any person, organization, or other entity contributing funds or in-kind support for the trip. A sponsor must have a significant role in organizing and conducting a trip and must have a specific organizational interest in the purpose of the trip. If Members, officers, and employees are participating in an event or fact-finding trip in connection with their duties, they may accept necessary travel expenses only from the event or trip sponsor.
- 2. Description of the trip: Provide a brief statement about the purpose of the trip.
- 3. Dates of travel: Provide the dates of departure and return.
- 4. Place of travel: Provide the destination(s) for the trip.
- 5. Name and titles of Senate invitees: Provide the name and title for each Senate Member, officer, or employee who is invited on the trip.
- 6. I certify that the trip fits one of the following categories: A Senate Member, officer, or employee may accept privately sponsored travel only from sponsor(s) of a trip that fits one of the categories listed. Consult the instructions for question 9 to determine if the trip meets the lobbyist accompaniment standard.
- 7. Financing of the trip, earmarked funds and in-kind contributions: Senate Members, officers, and staff may not accept privately-sponsored travel funded by a registered lobbyist or foreign agent. Members, officers, and staff may not participate in privately-sponsored travel when the sponsors accept funds or in-kind contributions earmarked for this particular trip from a registered lobbyist or agent of a foreign principal or from a private entity that retains or employs one or more registered lobbyists or agents of a foreign principal. Earmarking includes any direction, agreement, or suggestion -- formal or informal -- to use donated funds, goods, services, or other in-kind contributions for a particular trip or purpose.
- 8. Lobbyist/agent of a foreign principal involvement: Senate invitees may not participate in trips planned, organized, arranged, or requested by a lobbyist or foreign agent in more than a de minimis way, which means negligible or inconsequential. It would be considered inconsequential for one or more lobbyists or foreign agents to serve on the board of an organization that is sponsoring travel, as long as the lobbyists or foreign agents are not involved in the trip. It is also permissible for a lobbyist to respond to a trip sponsor's request to identify Senate invitees with interest in a particular issue relevant to a planned trip. However, a lobbyist is not allowed to solicit or initiate communication with a trip sponsor, have control over which Senate employees are invited on a trip, extend or forward an invitation to a participant, determine the trip itinerary, or be mentioned in the invitation.

Example: A trip sponsor that is a § 501(c)(3) non-profit organization asks a lobbyist to recommend staffers who might be most interested in joining a trip to the U.S.-Mexican border. If a lobbyist knows a staffer who has a particular interest in the DEA's activities at the border, then providing that information (in light of the trip sponsor's request), in and of itself, would not exceed a de minimis level of participation, and would be permitted. However, it would not be permissible for the lobbyist to initiate contact with the trip sponsor to suggest that a particular Senate staffer be invited or forward an invitation to that staffer. Consult the instructions for question 9 to determine if the trip meets the lobbyist accompaniment standards.

9. Lobbyist/agent of a foreign principal accompaniment standards: Senate Members, officers, and staff may not accept privately-sponsored travel from an entity that retains or employs one or more federally-registered lobbyists or foreign agents unless one of the listed scenarios applies. At any segment of the trip means lobbyists may not accompany the Senate invitee for parts of the travel to and from the event (not at the event itself or the location being visited). At any point throughout the trip means lobbyists may not accompany Senate invitees at any point to and from the event, at the event itself, or at the location being visited, other than in a de minimis way. This is a broader prohibition than the at any segment of a trip standard.

"De minimis" exception: Both lobbyist/agent of a foreign principal "accompaniment" prohibitions include a de minimis exemption. De minimis means negligible or inconsequential. The mere coincidental presence of a lobbyist or foreign agent at an event would likely be considered de minimis. But in making the final determination, the Ethics Committee will consider the totality of the circumstances, including the amount of time lobbyists or foreign agents are present at the event; the amount of direct contact they have with Senate invitees; and the amount of control a trip sponsor has over their presence or contact with Senate guests. For example, if the trip includes attendance at an event considered widely-attended under Rule 35(1)(c)(18), the trip sponsor is unlikely to know all attendees present. Thus, it is likely to be permissible for such widely-attended events to include both a Senate guest and a lobbyist. Similarly, an organization cannot possibly know all the other passengers taking the same flight or other common carrier to a given destination. Accordingly, the sponsor does not need to certify that it knows for certain that no lobbyist or foreign agent will be on such a common carrier.

- 10. If travel includes two overnight stays: The Ethics Committee may approve two overnight stays for trips sponsored by an entity that employs or retains one or more lobbyists or foreign agents under certain conditions. Consult Committee regulations for additional information.
- 11. An itinerary for the trip is attached to this form: The Ethics Committee will not review the trip request without a detailed (hour-by-hour), complete and final itinerary for the trip. As a general matter, the Ethics Committee advises that each travel day contain a minimum of 6 hours of officially-related activities for Senate invitees.
- 12. Briefly describe the role of each sponsor in organizing and conducting the trip: A sponsor must have a significant role in organizing and conducting a trip and must have a specific organizational interest in the purpose of the trip.
- 13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission: Provide a brief description of the stated mission of each sponsor and how it relates to the trip.
- 14. Briefly describe each sponsor's prior history of sponsoring congressional trips: Provide a brief discussion of the sponsor's history of sponsoring congressional travel. It is not necessary to list every trip.
- 15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips): Provide a brief description of the educational activities performed by each sponsor. It is not necessary to list every individual activity; the description may be by kind or category of educational activity involved.
- 16. Total expenses for each participant: Indicate whether the figures provided are actual amounts or good faith estimates by checking the appropriate box. All trip expenses should be included. Expenses other than those for transportation, lodging, and meals must be individually listed and specified. Attach additional pages as necessary.

- 17. Congressional participation: For events that are arranged without regard to congressional participation (for example, annual meetings, conferences, seminars, and symposiums of trade associations, professional societies, business associations, and other membership organizations), the Ethics Committee may, but is not required to, allow Senate Members, officers, and employees to accept lodging and meal expenses that are commensurate with what is customarily provided to non-congressional attendees in similar circumstances. For events specifically arranged around congressional participation, lodging, meal expenses and other expenses must be "reasonable" in accordance with Ethics Committee regulations.
- 18. Reason for selecting the location of the event or trip: The location of the trip must be related to its purpose. A brief but detailed description of the reason for the selection of the location must be provided.
- 19. Name and location of hotel or other lodging facility: Include the exact name and address of the hotel or other lodging facility.
- 20. Reasons for selecting hotel or other lodging facility: Provide an explanation of the sponsor's rationale for selecting the particular lodging, include information such as proximity to the airport or site to be visited.
- 21. Describe how the daily expenses for lodging, meals, and other expenses provided to trip participant compare to the maximum per diem rates for official Federal Government travel: Where feasible and available, trip expenses for lodging and meals should generally be comparable to the government per diem rates. The circumstances surrounding a particular trip may legitimately require lodging and meal expenses to exceed these rates. Consult the Ethics Committee regulations for additional information.
- 22. Describe the type and class of transportation being provided: While coach or business-class fare may be accepted, first-class fare for any mode of transportation may be permitted only under limited conditions and only with specific prior written approval by the Ethics Committee. Transportation on a private or charter aircraft is not permitted for privately-sponsored travel under any circumstances.
- 23. Expenses for recreational activity, alcohol, or entertainment: The only recreational or entertainment activities that will be approved by the Ethics Committee are those that are provided to all attendees and are an integral part of an event. Alcoholic beverages are not considered to be a reasonable expense.
- 24. List any entertainment that will be provided to, paid for or reimbursed to Senate invitees and explain why the entertainment is an integral part of the event: Entertainment expenses that are not provided to all attendees and deemed an integral part of the event will not be approved by the Ethics Committee.
- 25. Certification: The trip sponsor must sign the form and certify that the information is true, complete, and correct. For trips with more than one sponsor, each additional sponsor must complete its own signature page and certify that the information contained in the form is true, complete, and correct.

Appendix to Private Sponsor Travel Certification Form

Aspen Institute Senior Congressional Education Staff Network Retreat, August 7-9, 2018

Question 12. Briefly describe the role of each sponsor in organizing and conducting the trip (response continued) -- The Bill & Melinda Gates Foundation is not a sponsor of this trip and did not play a role in organizing, planning or conducting the trip. The Foundation provided grant funding to support the Aspen Institute Education & Society Program, including the Aspen Senior Congressional Education Staff Network; however, the Foundation did not earmark any funding for this trip.

Questions 13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to the mission (response continued) – The Aspen Institute Education and Society Program seeks to provide a neutral forum to aid education policymakers in their efforts to improve K-12 public education. The purpose of the trip is to conduct a non-partisan educational retreat that encourages off-the-record, candid exchanges of ideas to support staffers' learning.

Question 15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips) (response continued) — The Aspen Institute organizes numerous educational activities, including educational briefings, roundtables, forums and conferences for a diverse range of attendees including federal and state policymakers, business and organizational leaders, members of the press and the general public. The Aspen Institute Education and Society Program works with federal, state and local education leaders to improve K-12 student achievement, particularly for underserved students.

## Aspen Senior Congressional Education Staff Network Retreat

### Implementing ESSA: Accountability Systems and State and District Finance

Wye River Conference Center 600 Aspen Drive Queenstown, MD 21658 P: 410-827-7400

August 7-9, 2018

### **AGENDA**

#### **Retreat Goals:**

- Understand how states are implementing their Every Student Succeeds Act (ESSA) plans and how they
  will support implementation at different levels of the system;
- Conduct an in-depth review of the operation and implications of states' ESSA accountability systems for identifying and supporting schools;
- Explore how district leaders develop and track budgets in the context of ESSA funding and requirements, including how district budgets connect to the district's overall strategy;
- Engage in active learning and build working relationships with education leaders from the field, as well
  as with colleagues from different parties and chambers.

### Tuesday, August 7, 2018

12:00 PM	Arrival and Check-In
12:30 – 1:00 PM	Lunch
1:15 – 1:45 PM	Welcome, Overview, and Retreat Objectives
	To guide the retreat's discussion, Congressional staffers and faculty members will begin by sharing their top learning objectives for the convening.
1:45 - 3:00 PM	Session I: Capacity to Implement ESSA
	Tommy Chang, former Superintendent, Boston Public Schools
	Alicia Garcia, Principal Policy Analyst, American Institutes for Research
	Jennifer McCormick, Superintendent of Public Instruction, Indiana Department of Education
	Guiding Questions:
	<ul> <li>What is the preparedness of states and LEAs to effectively implement ESSA's school and subgroup identification and improvement requirements, including systems,</li> </ul>

How are SEAs and LEAs currently structured and staffed? What, if any, changes are

being made in response to ESSA requirements (i.e., school improvement, financial

communications, plans, and supports?

- transparency requirements, etc.)? Are staffing needs concentrated around the need for new types of expertise or the need for just more staff?
- How do SEA staff perceive their role? How do federal expectations for SEAs align with those perceptions, and with state and local stakeholders' expectations for SEAs? If not, what challenges does that present?
- How are states, LEAs, and the U.S. Department of Education (ED) balancing compliance and monitoring with providing guidance and support? What resources and supports do they need to navigate this shift?
- What resources or supports is the U.S. Department of Education (ED) or federallyfunded centers currently providing to states and LEAs to help implement ESSA? Are there additional supports that would be helpful, or improvements that can be made to current practice?

#### 3:00 - 3:15 PM

### Break and individual reflection

### 3:15 - 5:15 PM

### Session II: Digging into District Budgeting from Development to Execution

Marguerite Roza (Director, Edunomics Lab) lead faculty and staff in an exploration of the different ways LEA leaders deploy their funds to schools and how decisions get made about resource tradeoffs. As a group, we will discuss the sources of funding, constraints and opportunities with funding, basic strategies LEA leaders use to divvy up funds across schools, and linkages of funding with LEA strategies and outcomes. We will also explore the flexibilities (or lack thereof) and who is involved in resource allocation decisions.

#### 5:15 - 5:30 PM

### Taking stock: Staff reflections and feedback to guide remaining discussions

#### 6:30 PM

### **Networking Reception with Expert Faculty**

Staffers will have the opportunity to network with participants during the reception.

#### 7:00 - 8:30 PM

### Working Dinner with Discussion of Earlier Sessions

### Wednesday, August 8, 2018

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7:30 - 8:30 AM Breakfast

8:30 - 8:45 AM

Group reflection on Day 1: what thoughts and questions were raised for further discussion?

8:45 - 10:15 AM

### Session III: Reflecting on District Budgeting

Guiding Questions:

- How well do LEA leaders understand federal funding formulas, allocations, flexibilities, and programmatic uses of funds? How are tensions and tradeoffs between federal, state, and local funding and requirements resolved?
- How are SEA and LEA leaders preparing to report on, utilize, and respond to ESSA's financial reporting requirements? What are the implications for equity?
- What lessons can be learned from the initial rollout of the Weighted Student Funding Pilot?

- How are SEA and LEA leaders addressing resource reviews as part of schools' improvement plans?
- How do LEA leaders understand and take advantage of the transferability authority in ESSA? In addition, how do LEA leaders typically implement the consolidation of funds permitted under schoolwides?

### 10:15 – 10:35 AM Break and individual reflection

### 10:35 AM - 11:55 PM Session IV: Budgeting and Strategy

This session will include a mix of full-group discussion and an opportunity for faculty and staffers to engage in one-on-one discussions about the implications of our conversations. Guiding Questions:

- What processes state and LEA leaders employ for weighing budgetary choices and trade-offs? To what extent do evidence, outcomes, mandates, and links to strategy factor into those decisions?
- What are the challenges of integrating federal funds with other sources of funds into a coherent budget? And how are federal funds typically distributed, accounted for, and expended?
- How are state and LEA leaders using ESSA's programs and funding (e.g., optional Title II set asides for principals and school leaders, Teacher and School Leader Incentive Program, etc.) to support their broader human capital strategy?
- How are SEA and LEA leaders using funds to support school improvement strategies for all identified schools (e.g., braiding local, state, and federal funds, addressing any resource inequities, connecting schools with resources to meet the needs of underperforming, etc.)?
- Are states using the optional Title II set aside for principal development? If so, what activities and supports are they planning to offer?

12:00 - 1:00 PM

Lunch

1:00 - 3:00 PM

### Session V: Deep Dive into State Accountability Systems

Juan D'Brot (Senior Associate, National Center for the Improvement of Educational Assessment) will lead staff and faculty through a simulated run of a state's ESSA accountability system and discuss implications for which schools are identified for improvement and what it means for state and LEA capacity, budgeting, and overall strategy.

3:00 - 3:15 PM

Break and individual reflection

3:15 - 4:30 PM

### Session VI: Implications of State Accountability Systems

Alicia Garcia, Principal Policy Analyst, American Institutes for Research

Jennifer McCormick, Superintendent of Public Instruction, Indiana Department of Education

**Guiding Questions:** 

- Is the state accountability model coherent and likely to result in the identification of the schools in greatest need of support?
- Did the model result in school and subgroup identification along the lines the state plan described?
- How does the state system address the validity and reliability of results?

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- What patterns of school and subgroup identification were observed and how do those compare to expectations?
- How does the state's system surface educational inequities? Are there any inequities that are not apparent in the results that might be overlooked?
- Is the state's system and its output intelligible/useful to internal stakeholders (e.g., LEA leaders) and external stakeholders (e.g., parents, the public)?
- Are SEA and LEA approaches to supporting and improving identified schools appropriate to the actual results of the accountability system?

6:15 PM

Networking Reception with Expert Faculty

Staffers will have the opportunity to network with participants during the reception.

7:00 - 8:30 PM

Working Dinner with Discussion of Earlier Sessions

### Thursday, August 9, 2018

7:30 - 8:30 AM

**Breakfast** 

8:30 - 8:45 AM

Staff reflections and feedback to guide remaining discussion

8:45 - 10:30 AM

Session VII: Pulling It All Together: Making Connections across Priorities

Kim Hendon, Assistant Superintendent, Roanoke City Schools

Erik Johnson, Executive Director of Finance, Denver Public Schools

Jennifer McCormick, Superintendent of Public Instruction, Indiana Department of Education

**Guiding Questions:** 

- How can state and LEA leaders balance budget development, accountability, and human capital strategy to achieve greater coherence? What resources or expertise do they need?
- As state and LEA leaders begin implementing their accountability systems and identifying schools and supporting/improving those schools, what issues do they need to address (i.e., building internal capacity, identifying resources, addressing resources, examining human capital policy and practice, etc.)?
- What supports will state and LEA leaders need to navigate these challenges or take advantage of these opportunities?
- What are the most important roles for ED as states and LEAs move into accountability system implementation and school identification? Are there ways ED or federally-funded centers can support greater coherence at the state and LEA level?

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10:30 - 10:45 AM Break

10:45 - 11:00 AM

Complete Retreat Evaluation

11:00 - 11:30 AM

Final Observations from Expert Faculty

11:30 - 12:00 PM

Taking Stock: Staff Reflections and Feedback to Guide Next Steps for the Network

12:00 - 1:00 PM

Lunch and Adjourn



June 18, 2018

Dear Senate Colleague,

We are writing to invite you to participate in an upcoming retreat – "Implementing ESSA: Accountability Systems, State and District Finance, and Human Capital Strategy" – for the Aspen Senior Congressional Education Staff Network from 12:00 PM Tuesday, August 7, 2018 to 1:00 PM Thursday, August 9, 2018 at the Aspen Institute's Wye River Conference Center, located 60 miles from Washington, DC.

At this convening, staffers will hear from state and district leaders on the implementation of the Every Student Succeeds Act. Staffers will understand how states implementing their ESSA plans and how their accountability systems are identifying schools for support, as well as how states and districts are approaching new financial requirements and opportunities in ESSA. Participants will also have a chance to explore state and district human capital strategy. Finally, the retreat will provide an opportunity for staffers to engage in their own learning and build working relationships with colleagues from different parties and chambers and with leading experts in the field.

We are committed to working with you and the Senate Ethics Committee to ensure compliance with the Senate rules regarding privately-funded sponsored travel. Enclosed you will find all the forms necessary for filing the trip with the Ethics Committee:

A detailed agenda listing discussion sessions

A completed Private Sponsor Travel Certification Form and appendix

A list of invited Senate staffers

A blank Employee Pre-Travel Authorization form

You must complete the Traveler Form and submit it with the enclosed agenda, list of invited staffers, and Primary Trip Sponsor Form directly to the Senate Ethics Committee (220 Hart) no later than Monday, July 9, 2018. After receiving the completed travel package, the Ethics Committee will review and issue an approval to you or your sponsoring Member. After the trip, you will need to complete a post-travel form that we will email to you after the site visit.

Attendance is by invitation only, with no outside observers or lobbyists. Funding is provided solely by grants from established foundations – no government, individual, foreign, corporate, or special interest money is accepted. The Network is supported by The Bill & Melinda Gates Foundation. The Aspen Education & Society Program maintains autonomy over invitations, materials, and the agenda for the retreat.

The retreat will begin at 12:00 PM on Tuesday, August 7, 2018, at the Wye River Conference Center and will conclude at 11:30 AM on Thursday, August 9, 2018. Please plan your travel accordingly in order to be present for the duration of the retreat. Dress is casual for all meetings.

The retreat promises to be productive and informative. We look forward to seeing you there. Warm regards

-Ross Wiener

Danielle Gonzales

Marisa Goldstein

Doug Mesecar

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### Aspen Senior Congressional Education Staff Network Retreat

# Implementing ESSA: Accountability Systems, State and District Finance, and Human Capital Strategy

Wye River Conference Center 600 Aspen Drive Queenstown, MD 21658 Phone: (410) 827-7400

August 7-9, 2018

Please provide names and titles of ALL Senate Members and employees you are inviting.

The Senate employees invited (listed below) are senior education staff responsible for education issues; they are invited specifically because of their education portfolio to meet with leaders and educational experts from states, districts, research, and support organizations to engage in non-partisan dialogue on the impact of federal policy on different levels of the education system.

### SENATE CONGRESSIONAL STAFF

#### **Amanda Beaumont**

Minority Deputy Education Policy Director Senate Committee on Health, Education, Labor, and Pensions, Ranking Member

#### Jake Cornett<sup>\*</sup>

Minority Senior Advisor Senate Committee on Health, Education, Labor, and Pensions

#### Laura Friedel

Majority Clerk
Senate Appropriations Subcommittee on Labor,
Health and Human Services, and Education

### Mike Gentile

Majority Professional Staff Member Senate Appropriations Subcommittee on Labor, Health and Human Services, and Education

#### Jenn Hatfield

Majority Education Résearch Assistant Senate Committee on Health, Education, Labor, and Pensions

#### Jordan Hynes

Majority Professional Staff Member Senate Committee on Health, Education, Labor, and Pensions

#### Alex Keenan

Minority Clerk Senate Appropriations Subcommittee on Labor, Health and Human Services, and Education

#### Allie Kimmel

Minority Education Policy Advisor Senate Committee on Health, Education, Labor, and Pensions

#### **Mark Laisch**

Minority Professional Staff Member Senate Appropriations Subcommittee on Labor, Health and Human Services, and Education

#### **Kara Marchione**

Minority Education Policy Director Senate Committee on Health, Education, Labor, and Pensions

#### **Bob Moran**

Majority Deputy Education Policy Director Senate Committee on Health, Education, Labor, and Pensions

#### **Matt Stern**

Majority Professional Staff
Senate Committee on Health, Education, Labor, and Pensions

# EMPLOYEE PRE-TRAVEL AUTHORIZATION

Pre-Travel Filing Instructions: Complete and submit this form at least 30 days prior to the travel departure date to the Select Committee on Ethics in SH-220. Incomplete and late travel submissions will <u>not</u> be considered or approved. This form <u>must</u> be typed and is available as a fillable PDF on the Committee's website at ethics.senate.gov. Retain a copy of your entire pre-travel submission for your required post-travel disclosure

Date/Time Stamp:

ETHIC JUL 5\*18pm12=25

Form RE-1

required post-travel disc	plosure.
Name of Traveler:	Allie Kimmel-
Employing Office/Com	mittee: Senate HELP Committee Minority Staff
Private Sponsor(s) (list	all): The Aspen Institute, Inc. (Education and Society Program)
Travel date(s): August	7-9, 2018
	n to extend the trip for any reason you <u>must</u> notify the Committee.
Destination(s): Queen	Stoveri, ivid
Explain how this trip is	specifically connected to the traveler's official or representational duties:
the law and will help	advisors responsible for oversight of the Every Student Succeeds Act's implementation, understand the challenges and opportunities that states are facing while implementing me conduct better oversight and issue more thoughtful responses to state and local tions and challenges.
Relationship to Employe	family member (if any):ee: Spouse Child  Attion contained in this form is true, complete and correct to the best of my knowledge:
71510	were sometimes in this form is true, complete and correct to the best of my knowledge:
(Date)	(Signature of Employee)
TO BE COMPLETED BY Secretary for the Majority,	SUPERVISING SENATOR/OFFICER (President of the Senate, Secretary of the Senate, Sergeant at Arms, Secretary for the Minority, and Chaplain):
I, Senat	or Murray  hereby authorize  Allie Kimmel
(Print Senator	's/Officer's Name) (Print Traveler's Name)
related expenses for trav	irect supervision, to accept payment or reimbursement for necessary transportation, lodging, and el to the event described above. I have determined that this travel is in connection with his or her yee or an officeholder, and will not create the appearance that he or she is using public office for
I have also determined the of the Senate. (signify "ye	nat the attendance of the employee's spouse or child is appropriate to assist in the representation as "by checking box)
7/5/18	Party Mennen
(Date) (Revised 10/19/15)	(Signature of Supervising Senator/Officer).